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PATENT

Paper No.

File: Newmrkt-P4-99

Date: November 17, 2000

Signed: Peter K. Trzyna
Peter K. Trzyna (Reg. No. 32,881)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg
Serial No. : 09/467,646
Filed : December 20, 1999
For : DIGITAL COMPUTER SYSTEM FOR OPERATING
A CUSTOMIZABLE INVESTMENT FUND
Group Art Unit : 2761
Examiner : Unknown

RECEIVED

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

DEC 04 2000

Technology Center 2100

TRANSMITTAL LETTER

SIR:

For the above-identified patent application, please record the following in the Assignment Branch:

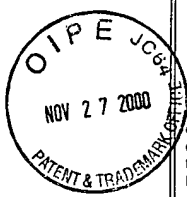
1. PTO Form 1449;
2. Cited Art; and
3. Supplemental Information Disclosure Statement.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Date: November 17, 2000

Peter K. Trzyna
Peter K. Trzyna



hereby certify that this correspondence is being filed by depositing it with the United States Postal Service as first class mail in an envelope with sufficient postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date indicated below.

Date: November 17, 2000

Signed: Peter K. Trzyna
Peter K. Trzyna (Reg. No. 22604)

PATENT

Paper No.

Our File No. Newmrkt-P99-4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg
Serial No. : 09/467,646
Filed : December 20, 1999
For : DIGITAL COMPUTER SYSTEM FOR OPERATING A CUSTOMIZABLE INVESTMENT FUND
Group Art Unit : 2761
Examiner : Unknown

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Assistant Commissioner of Patents
Washington, D.C. 20231

Technology Center 2100

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

SIR:

This Information Disclosure Statement is being filed pursuant to the duty of disclosure, candor, and good faith embodied in 37 C.F.R. §§ 1.56 and 1.97 owed by the inventor, the inventor's assignee substantively involved in the application, and the patent attorney to the United States Patent and Trademark Office. Submitted herewith are patents, publications, and other information of which the inventor is aware to help make this information of record.

I. COMMENT ON THE ENCLOSED PRIOR ART

The section of the patent application subtitled "Background of the Invention" identifies material believed to be material to, or of interest in, the examination of the application and provides a concise explanation of the material. This information Disclosure Statement also transmits copies other information which the undersigned respectfully requests the Examiner to consider in the examination of the application. The Examiner is also requested to initial as indicated in the attached Form PTO-1 449 if a citation is considered and draw a line through a citation not considered, and include a copy of Form PTO-1449 with the

intended that these constitute an admission of "prior art" for this invention unless expressly designated as such. Although a search has been made of United States patents, and the inventor has added other information in the specification, this Information Disclosure Statement shall not be construed to mean that no other material information, as defined in 37 C.F.R. §§ 1.56, exists.

II. FEE


The present Information Disclosure statement is being filed prior to the receipt of a first Official Action reflecting an examination on the merits and hence is believed to be timely in accordance with 37 C.F.R. § 1.97(b). Accordingly, no fees are believed to be due in connection with the filing of this Information Disclosure Statement. However, should any fees be deemed necessary (except payment of the issue fee), the Commissioner is authorized to charge any deficiency or to credit any over payment to Deposit Account No. 50-0235.

III. SIGNATURE

The patent attorney signs below based on information from the inventor's and the attorney's file.

Respectfully submitted,

Date: November 17, 2000


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